

01/24/01



Jc97 U.S. PTO

01-25-01

A

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

CHECK BOX, if applicable: ☐ DUPLICATE  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.: 09792909-4785

First Named Inventor: Hiroji KAWAI

Title of Invention: Semiconductor Device and Its Manufacturing Method

Express Mail Label No: EL654782046US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patent  
BOX Patent Application  
Washington, DC 20231

1. ☒ This Form includes the Fee Transmittal (See Box 18)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status. (See 37 CFR 1.27)
3. ☒ Specification *Total Pages* 47  
(46 pages and 1 cover page)
4. ☒ Drawing(s) (35 USC 113) *Total Sheets* 8  
(Figs. 1-14)
5. ☒ Declaration and Power of Attorney *Total Pages* 2
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- c. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting Inventor(s)  
named in the prior application, see  
37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate
8. ☐ Nucleotide and/or Amino Acid Sequence Submission
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R in duplicate; or
- ii. ☐ paper
- c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s)) *Total Pages* 2
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy Assignment Papers from a prior application
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS) is enclosed:
- a. ☐ IDS By Applicant (PTO/SB/08A or PTO-1449)
- b. ☐ Copies of IDS Citations are enclosed
- c. ☐ Copy IDS Citations from a prior application
13. ☒ Preliminary Amendment "A" *Total Pages* 1
14. ☒ Return Receipt Postcard (properly addressed; postage prepaid)
15. ☒ Certified copy of Japanese Priority Document:  
Document No. 10-147492, filed on May 28, 1998.
16. ☐ Request and Certification under 35 USC 122
- a. ☐ Non-publication Request (PTO/SB/35 or equivalent)
- b. ☐ Publication Request (PTO/SB/35 or equivalent)
17. ☒ Other:
- a. ☒ Express Mail Certificate (No. EL654782046US)

18. ☒ CONTINUING APPLICATION. If continuing application, check appropriate box and supply the requisite information:
- a. ☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/316,044
- b. ☒ Prior application information: Examiner Name: J. GARCIA Group Art Unit: 2823
- c. ☒ The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) BASIC FEE \$710.00
	TOTAL CLAIMS	4	0	\$18.00	\$0.00
	INDEPENDENT CLAIMS	1	0	80.00	0.00
		ANY MULTIPLE DEPENDENT CLAIMS? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		270.00	0.00
				TOTAL FILING FEE	\$710.00

- d. ☒ In connection with this application, the Commissioner is hereby authorized to credit overpayments or to charge any additional fee required to Deposit Account No. 19-3140. A duplicate copy of this sheet is enclosed.
- e. ☒ A check including the amount of \$710.00 to cover the total filing fee is enclosed.

19. ☒ CORRESPONDENCE ADDRESS:

SONNENSCHN NATH & ROSENTHAL  
P.O. Box 061080  
Wacker Drive Station, Sears Tower  
Chicago, IL, USA 60606-1080

DATE: JANUARY 24, 2001

SIGNATURE

Christopher P. Rauch

Christopher P. Rauch (Reg. No. 45,034)  
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**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

"Express Mail" Mailing Label Number: **EL654782046US**

Date of Deposit: January 24, 2001

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to The Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Divisional Application of Hiroji KAWAI entitled "SEMICONDUCTOR AND ITS MANUFACTURING METHOD" (Consisting of 46 pages and 1 cover sheet: Total 47 pages)

Utility Patent Application Transmittal Letter (1 page in duplicate)

Drawings: 8 sheets, Figures 1-14

Preliminary Amendment accompanying filing of application (1 page)

Copy of signed Declaration and Power of Attorney (2 pages)

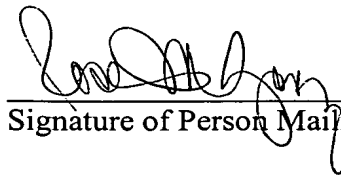
Copy of signed Assignment Papers (2 pages)

Certified copy of Japanese Priority Document 10-14792 filed on May 28, 1998 (1 page)

Check #1128235 in the amount of \$710.00 for Filing Fee

Return Receipt Postcard

Attorney Docket No.: 09792909-4785

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Signature of Person Mailing Application and Fees